

EXHIBIT JJ

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

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UNITED STATES OF AMERICA :

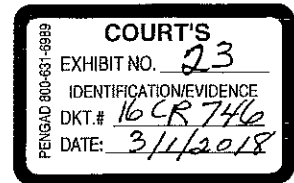
- v. - :

DAVID BERGSTEIN, :

Defendant. :

16 Cr. 746 (PKC)

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Verdict Form



USDC SDNY
DOCUMENT
ELECTRONICALLY FILED
DOC #: _____
DATE FILED: 3/2/2018

Count One (Conspiracy to Commit Investment Advisor Fraud & Securities Fraud)

☒ Guilty ☐ Not Guilty

Count Two (Investment Advisor Fraud – WFF & P2 Fund)

☒ Guilty ☐ Not Guilty

Count Three (Investment Advisor Fraud – TT Portfolio)

☒ Guilty ☐ Not Guilty

Count Four (Securities Fraud – P2 Fund)

☒ Guilty ☐ Not Guilty

Count Five (Securities Fraud – TT Portfolio)

☒ Guilty ☐ Not Guilty

Count Six (Conspiracy to Commit Wire Fraud)

☒ Guilty ☐ Not Guilty

Count Seven (Wire Fraud)

X Guilty _____ Not Guilty

03/01/2018
Date


Foreperson